

Application Number	10/049,606
Filing Date	2/14/2002
First Named Inventor	Ulrike RöCKRATH et al.
Art Unit	1711
Examiner Name	BERMAN, SUSAN W.
Attorney Docket Number	IN-5555

Commissioner of Patents
P.O. BOX 1450, Alexandria
Virginia 22313-1450

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<input checked="" type="checkbox"/>	Information Disclosure Statement
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PATENT

(Practitioner's Docket No. IN- 5555)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Ulrike RÖCKRATH, et al.

Serial No.: 10/049,606.

Filed: 2/14/2002

Group Art Unit: 1711

Examiner: BERMAN, SUSAN W.

**For: COATING MATERIAL AND ITS USE FOR PRODUCING HIGHLY SCRATCH
RESISTANT MULTILAYER TRANSPARENT LACQUERS**

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

Applicant(s) submit(s) herewith patents, publications, or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose in accordance with 37 C.F.R. §1.56.

☐ An International Search Report has no been provided yet. The Search Report and References will be submitted when received

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made (37 C.F.R. 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner.

☒ Submitted herewith is Form PTO-1449 (Modified) listing patents, publications, or other information for consideration by the Office.

COPIES PROVIDED:

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☐ Legible copies of all items listed on Form PTO-1449 accompany this information statement, except Copies of U.S. patents, patent applications, and publications as indicated below:

☐ Under 35 U.S.C. §120, this application relies on the earlier filing date of prior application Serial No. [____], filed on [____]. The following references were submitted to and/or cited by the Office on this prior application and are therefore not required to be provided in this application:

☐ In accordance with 37 C.F.R. §1.98(c), a copy of only [____] is being submitted with this Information Disclosure Statement, and is cumulative of the following patents or publications listed on Form PTO-1449:

Information Disclosure Statement
Page 2

- ☐ Application Serial No. [] was published as Publication No. []. The Bibliographic information for this publication is correct, but the abstract, specification, and claims are not those of []. Therefore, the bibliographic page for Publication No. [] is provided with a copy of the specification as filed for [].

FOREIGN LANGUAGE DOCUMENTS

- ☐ There are no foreign language documents listed on Form PTO-1449.
- ☐ The following non-English language references were cited in the specification. The English language equivalents for these references are being submitted in substitution for the non-English references.
- ☐ English language abstract for the following non-English references are enclosed.
- ☒ Submitted herewith is an English translation of the following foreign language patents, publications or information or of portions of those patents, publications or information considered to be material:

	US/ENGLISH EQUIVALENT
DE 195 18 392	6159556
DE19814471	6344501
DE3407087	4746366
EP708788	6372875
EP522420	CA2073115

- ☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.
- ☐ The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith:
- ☐ Submitted herewith is an English language version of a search report listing information not in the English language and indicating the degree of relevancy found by the European Patent Office, in satisfaction of the requirement (under 37 C.F.R. §1.98(a)(3)) for a concise explanation of the relevance of non-English information.
- ☐ A concise explanation of the relevance of the following listed non-English language information is included as presently understood by the individual designated in 37 C.F.R. §1.56(c) most knowledgeable about the content of the information as set forth below:
- ☐ A concise explanation of the relevance of the following listed non-English language information is set forth in the above-identified specification:

CERTIFICATION:

- ☒ The Information Disclosure Statement transmitted herewith is being filed **within** three (3) months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. §1.97(b). Accordingly, it is believed that no certification or fee is due.

Information Disclosure Statement
Page 3

☐ The Information Disclosure Statement transmitted herewith is being filed **after** three (3) months of the filing date of the application or the date of entry into the national stage of an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but **before** the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311, whichever occurs first. Accordingly, I hereby certify that:

☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**

☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **OR**

☐ Applicant elects the option to pay the fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under 37 C.F.R. §1.97(c). Please charge the **\$180.00** IDS submission fee to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.

☐ The Information Disclosure Statement transmitted herewith is being filed **After a Final Action** under 37 C.F.R. §1.113, or **After a Notice of Allowance** under 37 C.F.R. §1.311, whichever occurs first, but **Before Payment of the Issue Fee**. Accordingly, I hereby certify that:

☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**

☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **AND**

☐ Applicant hereby petitions for consideration of this Information Disclosure Statement; 37 C.F.R. §1.97(d)(2)(ii). Please charge the petition fee of **\$130.00** to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.

The Commissioner is authorized to charge BASF Corporation **Deposit Account No. 23-3425** for any additional fees due hereunder.

Reg. No.: **42,906**


SIGNATURE OF ATTORNEY and DATE

Michael F. Morgan October 14, 2003

Type or print name of attorney

BASF Corporation

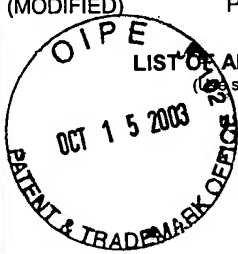
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FORM PTO-1449 (MODIFIED)	US DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	Atty. Docket No. IN-5555
		In re Application of: RÖCKRATH et al.
		Serial No.: 10/049,606
		Filed: 2/14/2002

U.S. PATENT DOCUMENTS							
Examiner initial	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	AA	4,719,132	1/12/88	Porter, Jr.	427	409	4/29/87
	AB	4,746,366	5/24/88	Philipp et al.	106	287	3/17/86
*	AC	6,159,556	12/12/00	Möller et al.	427	475	5/9/96
*	AD	6,344,501	2/5/02	Sierakowski et al.	523	410	3/31/99
*	AE	6,372,875	4/16/02	Mayer et al.	528	60	1/16/94
*	AF						

FOREIGN PATENT DOCUMENTS							
Examiner initial	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
	AG	CA 2 073 115	92.07.03	CA	C08L	075/14	

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)	
AH	ENGLISH ABSTRACT for DE3828098 from EPO, 1990-03-14.
AI	ENGLISH ABSTRACT for DE3903804 from EPO, 1990-08-23.
AJ	ENGLISH ABSTRACT for DE4011045 from EPO, 1991-10-09.
AK	ENGLISH ABSTRACT for DE4020316 from EPO, 1992-01-09.
AL	ENGLISH ABSTRACT for DE4025215 from EPO, 1992-02-19.
AM	ENGLISH ABSTRACT for DE4122743 from EPO, 1993-01-27.
AN	ENGLISH ABSTRACT for DE4303570 from EPO, 1994-08-17.
AO	ENGLISH ABSTRACT for DE4328092 from EPO, 1995-02-23.
AP	ENGLISH ABSTRACT for EP0069936 from EPO, 1983-01-19
AQ	ENGLISH ABSTRACT for EP0297576 from EPO, 1989-01-04.

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

*Applicant has modified this form by deleting the word "prior".